

APPENDIX C

Continuing Resolution Authority General Guidance

Office of the Assistant Secretary of the Army (Financial Management & Comptroller)

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Chapter 3 – Rules for Operation in the Absence of CRA

8. DoD Exempt and Non-Exempt Activities.

a. National security.

(1) Exempt activities.

- (a) Units identified in and administrative, logistics and maintenance functions required to support Joint Staff contingency program major regional contingency tasking.
- (b) Units and personnel tasked in direct support of the Single Integrated Operations Plan (SIOP).
- (c) Activities and functions of the Combatant Commander's, Subordinate Component Commander's and Supporting Commander's headquarters and OSD, Joint Staff, Service and DoD Agency staffs necessary to ensure operations and maintenance integrity of essential C4I systems.
- (d) Units and activities required to operate, maintain, assess and disseminate the collection of intelligence data necessary to support tactical and strategic indications, warning and supporting force enhancement roles.
- (e) Forward based combat, combat support and combat service support units.
- (f) Forward deployed units executing CJCS or CINC operations/deployment orders, those units in operational work-up status to execute those orders and those units and activities required in direct support of those tasks.
- (g) Units and personnel supporting ongoing international treaties, commitments, essential peacetime engagement and counterdrug operations.
- (h) Units and personnel preparing for or participating in operational exercises.
- (i) Essential operational training necessary to execute operational, contingency and wartime tasking.

(2) Non-exempt activities.

- (a) Forces identified as available T+91 and beyond.
- (b) All other units not in direct support of exempted units, functions or activities.
- (c) Technical intelligence information collection, analysis and dissemination functions not in direct support of exempted activities (e.g., general political and economic intelligence unrelated to ongoing or contingency military operations, support of acquisition programs, support to operational test and evaluation,

intelligence policy security promulgation and development, systems development and standards, policy and architecture).

(d) Training exercises not essential to the execution of wartime, contingency or OPLAN tasking.

(e) Basic, skill, and qualification training which will obligate current year funds.

(3) Explanatory notes.

(a) Post deployment units will minimize all operations which will obligate current year funds required to prepare for follow-on operational or OPLAN tasking.

(b) Operational exercises are those exercises required to prepare units for operational, contingency or wartime taskings.

(c) Training exercises are those exercises designed to improve skill and task proficiency but not necessarily oriented towards specific operational, contingency or wartime taskings.

b. Military and Civilian Personnel.

(1) Exempt activities.

(a) All active duty military personnel and all reservists on active duty. Duty assignments may be changed by local commanders to supplement exempt activities.

(b) Reserve Components personnel in direct support of exempted activities.

(c) National Guard and Reserve military technicians in units identified as available T+90 or less.

(d) Senate-confirmed officials appointed by the President and their immediate office personnel.

(e) Civilian personnel in direct support of exempted activities, and additional civilian personnel designated by the Secretary of Defense.

(f) Minimum number of personnelists to support exempt personnel once orderly shutdown has occurred.

(g) Civilians paid through prior appropriations, revolving, trust or nonappropriated funds.

(h) Support to international special events or commitments, as authorized by the Secretary of Defense.

(i) Host nation funded foreign national employees whose functions support exempt activities.

(j) Foreign national employees governed by country-to-country agreements that prohibit furloughs.

(2) Non-exempt activities.

(a) Civilian personnel (including host nation funded foreign national employees) not in direct support of exempted activities.

(b) Military Personnel Selection Boards and Administrative Boards.

- (c) Civilian personnel whose salaries are paid with annual appropriations and later reimbursed from another source (e.g., the Foreign Military Sales Trust Fund).
- (3) Explanatory notes.
 - (a) Active duty military personnel and active duty reservists shall report for duty pursuant to Title 37, U.S. Code. Civilian personnel shall also report for duty unless specifically directed to do otherwise.
 - (b) Following a lapse in appropriations, a minimum number of essential civilian personnel will be retained to execute an orderly shutdown within a reasonable timeframe and may continue to work until the shutdown is completed.
 - (c) Civilian personnel paid from prior year appropriations may continue to work until prior year balances are exhausted.
 - (d) Foreign national employees paid by the host nation are subject to the same criteria for furlough as United States employees, depending on whether their functions support exempt activities. However, the host nation may elect to continue to pay the employees, even if they are furloughed.
 - (e) Foreign national employees paid with U.S. funds are also subject to the same furlough criteria as United States employees. However, their terms of employment may be governed by a Status of Forces agreement between the United States and the host nation, which means that their pay may not be controlled by U.S. laws. Depending on the terms of the agreement, it may be necessary to pay those employees, even if they are furloughed.

c. Protection of Life and Property.

- (1) Exempt activities.
 - (a) Functions or activities to the extent necessary to protect life and property and for response to emergencies, including fire protection, physical security, law enforcement/counter terrorism, intelligence support to terrorist threat warnings, Explosive Ordnance Disposal operations, emergency salvage, subsafe program, nuclear reactor safety and security, air traffic control and harbor control, search and rescue, utilities, housing and food services for military personnel, and trash removal.
 - (b) Emergency repair and non-deferrable maintenance to utilities, power distribution system buildings or other real property including BEQ, BOQ and housing for military personnel.
 - (c) Repair of equipment needed to support exempted services, including fire trucks, medical emergency vehicles, police vehicles, or material handling vehicles.
 - (d) Voice and data communications that support exempt activities.
 - (e) Civilian personnel directly involved in the exempted activities, including security guards, individuals to monitor and maintain alarms and control systems, utilities, and emergency services. This category includes the National Communications System personnel who staff the National Coordinating Center for Telecommunications and civilian personnel at the White House Communications Center.

- (f) Minimum number of personnel for receipt and safekeeping of material delivered during shutdown.
 - (g) Minimum number of personnel to control hazardous material and monitor existing environmental remediations.
 - (h) Minimum number of personnel required to perform statutory responsibilities of the Defense Mapping Agency for marine and aeronautical navigation.
 - (i) Security maintenance and ADP operators associated with protecting property at the Defense Clearance and Investigations Index facility that supports DoD law enforcement efforts.
 - (j) Oil spill and hazardous waste cleanup, environmental remediation, and pest control, only to the extent necessary to prevent imminent danger to life or property.
 - (k) Civilian Army Corps of Engineer personnel with responsibilities to local and state governments that involve imminent threats to life or property.
 - (l) Civilian specialists responsible for safe storage or transportation of hazardous materials, including ammunition, chemical munitions, photographic processing operations.
 - (m) USD(A&T) personnel responsible for providing emergency reporting response and input to the National Response Team and coordinating with EPA and other agencies on fire, safety, occupational health, environmental, explosive safety for vector borne disease management.
- (2) Non-exempt activities. Environmental activities which are not necessary to prevent imminent threat to life or property.
- (3) Explanatory notes.
- (a) No new remediation activities, except those exempted above, may be started.
 - (b) Unit commanders may, on their authority, require return to work of civilian personnel in the event of developments (natural disasters, accidents, etc.) that pose an imminent danger to life or property.

d. ADP and Communications.

- (1) Exempt activities.
 - (a) ADP centers, including megacenters, supporting exempt functions with a minimum number of civilian personnel.
 - (b) Operation and maintenance of command, control and communications systems.
 - (c) Telecommunications centers and phone switches on installations.
 - (d) Secure conference capability at military command centers.
- (2) Non-exempt activities. Personnel and activities associated with planning and acquisition of future ADP, telecommunications, and command and control systems.

e. DOD Medical and Dental Care.

(1) Exempt activities.

- (a) Direct patient care personnel in DoD facilities (including Uniformed Service Treatment Facilities) including doctors, nurses, medical technicians, dentists, pharmacists, and essential support personnel (cooks, custodians, etc.).
- (b) Contingency planning in major medical command headquarters.
- (c) All inpatient care in Medical Treatment Facilities.
- (d) All acute and emergency outpatient care in DoD medical and dental facilities.
- (e) DoD health care contracts for inpatient care/acute outpatient care, including medical supplies.
- (f) Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) and TRICARE contracts.
- (g) Veterinary services that support exempted activities (e.g., food supply and service inspections).
- (h) Minimum civilian personnel necessary to provide certification of eligibility for health care benefits.

(2) Non-exempt activities.

- (a) Civilian administrative staff in Medical Treatment Facilities and dental facilities not involved in exempted patient care.
- (b) Civilian personnel in major medical command headquarters who are not involved in contingency planning.
- (c) Elective surgery in DoD Medical Treatment Facilities for non-active duty personnel (both CONUS and OCONUS).
- (d) Routine physicals, preventive dental procedures, or other routine medical procedures (including vaccinations) in DoD Medical Treatment Facilities for non-active duty personnel (both CONUS and OCONUS).
- (e) Persian Gulf Illness Hotlines.

e. Training and Education.

(1) Exempt activities.

- (a) Educational activities deemed necessary for immediate support of exempted activities.
- (b) Educational activities not otherwise exempted if undertaken by active duty military personnel for other active duty military personnel only.
- (c) Installation education centers may continue to operate using borrowed military manpower so that private agencies such as colleges and universities may provide courses purchased with previously available funding.
- (d) Department of Defense Dependents Schools and Section 6 Schools.

(2) Non-exempt activities.

- (a) At installation education centers, new registrations which require current year funding will not be conducted.
- (b) Education other than for exempted activities.
- (c) Training exercises not essential to the execution of wartime, contingency or OPLAN tasking.
- (d) Basic, skill, and qualification training which will obligate current year funds.

(3) Explanatory notes.

- (a) Training and education of active duty military personnel, reserve component personnel, and military technicians is governed by the National Security exemption. Both active duty and National Guard or Reserve personnel will cease training unless their unit is providing direct support to ongoing exempt activities. All military personnel performing non-exempt training in a TDY status should return to their home station as expeditiously as possible within carrier availability. This policy will result in additional costs and waste, however, under the law, no other option is available.
- (b) Training and education of civilian personnel in support of exempt activities is permitted. All other civilian training will be terminated. Civilians participating in non-exempt training or education will be furloughed and civilian personnel on TDY for such purposes should be returned to their home stations as part of the orderly shutdown of operations.
- (c) Civilian instructors at military schools, training centers, and military academies will be subject to the same furlough criteria as other employees. In other words, if the activity has not been identified as part of the National Security exemption, or as a protection of life and property exemption, the instructors will be furloughed. However, the schools may continue to operate, if feasible, using military instructors and borrowed military personnel.

f. Recruiting.

(1) Exempt activities.

- (a) Military recruiters may continue to staff recruiting offices and may contact prospective recruits if administrative office expenses have been paid with prior year funding.
- (b) Military staff of Military Enlistment Processing Stations (MEPS) will report for duty.
- (c) Recruiting advertising purchased with prior year funds will continue to be utilized.

(2) Non-exempt activities.

- (a) Official vehicles cannot be used to transport recruiters or prospective recruits.
- (b) New enlistment contracts cannot be executed.
- (c) New recruits are not permitted to report to MEPS, or to report for induction.

- (d) Civilian administrative staff and contract physicians assigned to MEPS will not report for duty.
- (e) Recruiting advertising using current year funding will not be utilized.
- (3) Explanatory notes. The Secretary of Defense reserves the right to reverse the above guidance and resume normal recruiting activities after a lapse of 5 working days to avoid longer term disruption that would impair readiness. Resumption of recruiting activity is not automatic after 5 days and may be implemented only by direction of the Secretary of Defense.

g. Permanent Change of Station (PCS) and Temporary Duty (TDY).

(1) Exempt activities.

- (a) PCS moves funded with prior year funds for active duty, reserve, and civilian personnel may continue till completion and will be paid.
- (b) TDY travel for active duty, reserve, and civilian personnel funded and completed in the previous fiscal year will be paid.
- (c) PCS moves and TDY travel for active duty, reserve, and civilian personnel engaged in exempted activities may be authorized during a lapse in appropriations, but payment cannot be made until appropriations become available.
- (d) PCS moves of military personnel terminating their service and returning to their home of record will continue to be processed as part of the orderly shutdown of operations.
- (e) Travel funded from .0015 contingency limitation (for USACIDC mission travel) or .0017 extraordinary military expenses limitation.
- (f) Government transportation tickets funded with prior year appropriations will remain valid.
- (g) Travel advances may be paid only if the travel order was approved during the previous fiscal year or a previous CRA period.

(2) Non-exempt activities. PCS moves and TDY travel for active duty, reserve, and civilian personnel engaged in non-exempt activities during a lapse in appropriations will not be authorized. Non-exempt personnel on TDY will return to home station as part of shutdown procedures.

(3) Explanatory notes. All personnel performing official travel that does not support exempt activities should return to their home station as expeditiously as possible within carrier availability. This policy will result in additional costs and waste, however, under the law, no other option is available. Obligations are permitted for both TDY and PCS requirements in support of exempt activities; however, no disbursements are authorized. Under this policy, payment of travel advances or reimbursement of expenses for submitted travel vouchers will not be disbursed. While government charge cards may be used to incur obligations in support of exempt activities, the traveler is responsible for payment of the charge card bill when it is presented. Personnel should also be aware that government charge card privileges may be suspended in the event of a shutdown.

h. Army Working Capital Fund (AWCF) and Other Revolving Funds.

(1) Exempt activities.

(a) AWCF/revolving fund activities may continue to operate until cash reserves are exhausted.

(b) When cash reserves are exhausted, AWCF/other revolving fund activities in direct support of exempted activities must continue.

(c) AWCF activities may continue to accept orders financed with previously available funds, or unfunded orders from exempt organizations. Unfunded orders will be posted to accounts receivable, but will not actually be billed until appropriations are enacted.

(d) BRAC activities may continue to operate until unobligated balances are exhausted.

(2) Non-exempt activities. AWCF/revolving fund activities which provide support to non-exempt activities.

(3) Explanatory notes.

(a) Revolving funds may continue to operate utilizing prior year unobligated balances.

(b) Prudent management actions should be taken to sustain operations and minimize operational impact, including: delay of training, minimal travel, reduction in supplies, and other actions consistent with management objectives.

(c) Inter-AWCF billings will be suspended.

(d) Current year ledger transactions to military personnel accounts will be suspended.

(e) Managers may perform advance billing.

i. Contracting Activities.

(1) Exempt activities.

(a) Contracts for functions that would otherwise be exempt if performed by government employees.

(b) New contracts for exempted activities.

(c) Administration of contracts for exempt activities, including combat support and combat service support.

(d) Receipt, recordation and safe storage of material shipped and/or delivered under existing contracts.

(e) Contract payment, so long as DFAS remains operational pursuant to AWCF instructions and a valid invoice or bill, properly certified for payment, is presented.

(2) Non-exempt activities.

(a) Administration of existing contracts for non-exempt activities.

(b) Negotiation, preparation and execution of new contracts for non-exempt activities.

- (c) Supervision and inspection of ongoing construction contracts, unless the civilian salaries are paid from prior year appropriations.
 - (d) Contract reconciliation and closeout procedures.
- (3) Explanatory notes.
 - (a) Contracts funded with current year funds, that do not support exempt activities, will be terminated when available funding has been exhausted. Contract terms should be structured to allow for orderly termination of the contract in the event of a funding gap, and for reinstatement of the contract when funds become available. Contracting officers should work with contractors to minimize the impact of a lapse in funding. It should be understood that termination of a contract due to a funding gap is beyond the control of the contracting officer or contracting activity, and that contractor protests of such a termination are not generally considered to be justified.
 - (b) For contract actions, options, and modifications, not within the scope of the original contract, in direct support of exempt activities, the contracting officer will cite one of three authorities for these obligations: (1) the Constitution as interpreted by Attorney General opinions for general support of National Security operations, (2) 41 U.S.C. 11 for obligations covered by the Feed and Forage Act, and (3) 31 U.S.C. 1342 for obligations for protection of life and property against imminent danger.

j. Legal Activities.

- (1) Exempt activities.
 - (a) Litigation activities associated with imminent legal action, only so long as courts and administrative boards remain in session after a lapse in appropriations.
 - (b) Legal support for exempted activities.
- (2) Non-exempt activities. All other legal activities.

k. Audit and Investigation Community.

- (1) Exempt activities.
 - (a) Personnel participating in an ongoing criminal investigation or working undercover.
 - (b) Personnel required to support an emergent criminal investigation if authorized by the Secretary of Defense.
- (2) Non-exempt activities. All other members of the audit and investigation community.

l. Trust Funds.

- (1) Exempt activities.
 - (a) Trust funds conducting exempted activities (for example, retirement homes).
 - (b) Trust funds with management activities routinely paid from trust fund resources.
 - (c) Trust funds managed by Defense Finance and Accounting Service (DFAS) so long as DFAS operates.

- (d) Trust funds managed by borrowed military personnel.
- (2) Non-exempt activities. All other trust fund activities.

m. Morale Welfare & Recreation/Non-Appropriated Funds.

- (1) Exempt activities.
 - (a) Activities funded entirely through NAF sources.
 - (b) Child care activities.
 - (c) MWR activities operated by NAF personnel, or those using borrowed military personnel to replace civilian employees paid by appropriated funds.
- (2) Non-exempt activities. All MWR activities staffed by civilian employees paid from appropriated funds who are not replaced using borrowed military manpower.

n. Financial Management.

- (1) Exempt activities.
 - (a) Minimum essential personnel needed to record new obligations incurred in the performance of exempt functions/operations, and to manage AWCF cash.
 - (b) Obligation adjustment and reallocation of prior year unobligated funds in support of exempt functions/operations.
- (2) Non-exempt activities.
 - (a) Preparation of budget submission data.
 - (b) Closing of accounts that expired in the previous fiscal year.
 - (c) Preparation of year-end closing statements and financial reports for the previous fiscal year.
 - (d) Investigation of Anti-deficiency Act violations.
 - (e) Research and correction of problem disbursements.
 - (f) Adjustments to prior year funds related to programs and contracts that do not support exempt functions/operations.